



## Pre-Assessment Package

Version: 1.5

Information System Owner Approval	
Information System Name	
Planned Assessment Date	
Assessment Purpose	Certification & Accreditation
Package Submitted On	[Date Package Submitted to FSA, Chief Information Security Officer] Current Chief Information Security Officer is Robert Ingwalson, <a href="mailto:Robert.Ingwalson@ed.gov">Robert.Ingwalson@ed.gov</a> , Packages are normally burned to a CD given the size of the information provided.
Package Approved By	[Information System Owner Name]
Approval Signature	
Federal Student Aid Security & Privacy Team Approval	
Date Received	
Approval Date	
Approval Signature	

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## Overview

This document is intended to provide a comprehensive list of the items and information that should be provided to Federal Student Aid’s Assessment Team (Certification Agent) before the commencement of a security assessment, specifically those in support of Certification & Accreditation activities. The System Owner in conjunction with the System Security Officer shall provide a detailed accreditation boundary definition for the information system. The accreditation boundary shall clearly identify the people, processes, technology, and data that fall within the assessment scope and accreditation boundary.

Security controls, equipment, and services provided to the information system by other major applications or general support systems should be clearly documented. Security controls not designated as common controls are considered system-specific controls and are the responsibility of the information system owner. System security plans should clearly identify which security controls have been designated as common security controls.

For additional information on Accreditation Boundaries, please see section 2.3 titled “Accreditation Boundaries” of NIST Special Publication 800-37, *“Guide for the Security Certification and Accreditation of Federal Information Systems”*, dated May 2004.

## Instructions

Please fill in the System Description section below with a comprehensive system description. The system description should include an overview of the business functions provided by the system, an overview of the technical architecture of the system, individuals or groups who access the system, the primary location of the system as well as a list of secondary remote sites, and any other information deemed pertinent.

Please complete the tables for each site location. If the information system resides at only one site you may remove the sections for “Site Location Two” and “Site Location Three.” If there are more than three sites copy the tables from one of the previous sections and complete for each additional site. Some examples are provided in italics and should be removed when the tables are completed. Once completed the form should be signed by the Information System Owner and placed on the outlook public folder in the “Inventory Worksheet” directory for the system.

This form should be regularly reviewed in conjunction with the inventory worksheet and updated whenever there are changes to the system. Once completed this form is considered sensitive and should be encrypted with WinZip AES 256 bit encryption when distributed.

## System Description

[Enter a comprehensive system description here.]

## Accreditation Boundary Definition

### Site Location One:

**NOTE:** The following information should be filled out for each site location. As some services/documentation may overlap site locations you may adjust the structure of the document to map to your organizational structure.

This boundary should indicate the data center the system resides in and should include a description of the services provided by that data center. The boundary should clearly identify the components of the application that will be assessed as part of the certification and include a description of the operating environment for the system. The components of the system should be documented in the following tables:

Facility Information	
Site Name	
Address Line 1	
Address Line 2	



City, State, Zip	
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Please list the organization responsible for the facility and a main point of contact for coordinating facility access, clearly identify if the facility access is a security control provided by another application:

Facility Point of Contact	
Responsible Organization	
POC Name	
POC Title	
POC Email	
POC Number	

Please provide the assessment team with a main Technical Point of Contact for the site location. The main Technical POC is responsible for providing access to all technical personnel for interviews and routing technical questions about the architecture and design of the information system to appropriate personnel:

Technical Point of Contact	
Responsible Organization	
POC Name	
POC Title	
POC Email	
POC Number	

Please provide a detailed list of information technology equipment at this location utilized by the information system, a brief example is provided below:

Device Listing						
Device Name	Hardware	OS Type / Version	Internal/External IP Address	Server Role	Services	Service Provider
WebSrv1	HP ProLiant DL 300	Windows Server 2003	Internal: 0.0.0.0 External: 0.0.0.0	Web Server	IIS 5.0, FTP, SMTP, etc.	Verizon

Software Listing			
Name	Version	Description	Location
VISIO		A microcomputer software drawing package with design symbols. Vangent uses it for	Various



Software Listing			
Name	Version	Description	Location
		<i>graphs, data flow diagrams, and subsystem and program flowcharts.</i>	

Please provide a detailed list of user roles and points of contact for the information system:

Points of Contact			
Role	Name	Email	Number

Please provide a detailed list of any web interfaces present on the system and hosted by this location, below is an example:



Web Interfaces	
URL	Ports
<a href="http://website.ed.gov">http://website.ed.gov</a>	80, 443

Please provide the technical information below for any production databases utilized by the system at this location, an example is provided:

Databases				
Instance Name	IP Address	Port	Privileged UID	Listener Password
DB1	1.2.3.4	1521	NA	NA

### ***Vulnerability Scan Results***

The System Owner in conjunction with the System Security Officer must provide copies of any vulnerability scans (i.e. AppDetective, Nessus, WebInspect) executed against the system within the last 90 days.

Scan Information		
Scanner	Scanner Description	Date of Scan

### ***Scheduled Activities***

The System Owner, in conjunction with the System Security Officer, should provide in advance a list of activities for the system scheduled to take place during the certification (i.e. upgrades/migrations, other assessments, etc).



Scheduled Activities		
Name	Description	Timeline

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**Site Location Two:**

**NOTE:** The following information should be filled out per each site location, copy and past section for corresponding number of sites. As some services/documentation may overlap site locations you may adjust the structure of the document to map to your organizational structure.

This boundary should indicate the data center the system resides in and should include a description of the services provided by that data center. The boundary should clearly identify the components of the application that will be assessed as part of the certification and include a description of the operating environment for the system. The Components of the system should be documented in the following tables:

Facility Information	
Site Name	
Address Line 1	
Address Line 2	
City, State, Zip	

Please list the organization responsible for the facility and a main point of contact for coordinating facility access, clearly identify if the facility access is a security control provided by another application:

Facility Point of Contact	
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Device Listing						
Device Name	Hardware	OS Type / Version	Internal/External IP Address	Server Role	Services	Service Provider
WebSrv1	HP ProLiant DL 300	Windows Server 2003	Internal: 0.0.0.0 External: 0.0.0.0	Web Server	IIS 5.0, FTP, SMTP, etc.	Verizon

[illegible]



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Scheduled Activities		
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Address Line 2	
City, State, Zip	

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Scheduled Activities		
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## **System Documentation**

The System Owner in conjunction with the System Security Officer must provide the Certification Agent with the most recent copies of the following security related documentation:

- System Security Plan\*
- Configuration Management Plan
- Contingency Plan
- Privacy Impact Assessment
- Inventory Worksheet
- Previous C&A Package
- Previous Risk Assessments and Audits within the last 3 years
- Plan of Actions and Milestones
- Authority to Operate (ATO) Letter

\*Must be approved and signed by the System Owner

In addition to the documentation listed above, the System Owner in conjunction with the System Security Officer shall provide the Certification Agent with any system documentation related to the operation of the information system (i.e. Standard Operating Procedures, Network Diagram, Data Definition Diagrams, Data Flow Diagrams, etc.). Documentation provided must be sufficient for the Certification Agent to reconstruct the system architecture and follow the flow of data throughout the information system. Please provide a summary of the documentation provided along with this package:

<b>Documentation</b>			
<b>Name</b>	<b>Version</b>	<b>Date Last Updated</b>	<b>Approved By</b>